

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|              |   |                             |
|--------------|---|-----------------------------|
| Applicants : | W. Keith Edwards, Mark W. Newman, Jana Z.)<br>Sedivy, Trevor F. Smith, Diana K. Smetters,<br>Dirk Balfanz, and Paul Stewart | Examiner:<br>To be assigned |
| Serial No. : | To be assigned  | Art Unit:<br>To be assigned |
| Cnfrm. No. : | To be assigned  |                             |
| Filed :      | Herewith  |                             |
| For :        | SYSTEM AND METHOD FOR SECURELY<br>CONTROLLING COMMUNICATIONS  |                             |

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.97-1.98

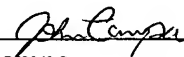
Mail Stop: Patent Application  
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Dear Sir:

Pursuant to 37 CFR §§ 1.97-1.98, applicants hereby bring to the attention of the  
United States Patent and Trademark Office, the enclosed references listed on the attached  
PTO-1449 form.

Respectfully submitted,

Date: July 18, 2003

  
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|---|----------------|----|---|--------------------------|---------------------|
| Substitute for form 1449A/PTO<br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |                |    |   | <b>Complete if Known</b> |                     |
|   |                |    |   | Application Number       | To be Assigned      |
|   |                |    |   | Filing Date              | Herewith            |
|   |                |    |   | First Named Inventor     | W. Keith Edwards    |
|   |                |    |   | Art Unit                 | To be Assigned      |
| Examiner Name   | To be Assigned |    |   |                          |                     |
| Sheet   | 1              | of | 1 | Attorney Docket Number   | 1508/3900 (D/A3285) |

| U.S. PATENT DOCUMENTS             |                          |  |                                |  |  |
|-----------------------------------|--------------------------|--|--------------------------------|--|--|
| Examiner<br>Initials <sup>*</sup> | Cite<br>No. <sup>1</sup> | U.S. Patent Document                       | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant Figures Appear |
|                                   |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |  |
|                                   | 1                        | US-20020156795                             | 10/24/2002                     | Edwards et al.                                     |  |
|                                   | 2                        | US-20020141582<br>A1                       | 10/03/2002                     | Kocher et al.                                      |  |
|                                   | 3                        | US-6,289,455                               | 09/11/2001                     | Kocher et al.                                      |  |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS |                          |  |                |
|---|--------------------------|--|----------------|
| Examiner<br>Initials <sup>*</sup>                 | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  | T <sup>2</sup> |
|   | 4                        | Kocher et al., "Self-Protecting Digital Content," Cryptography Research, Inc., pp. 1-3 (2002) [Retrieved from the Internet at <a href="http://www.cryptography.com/resources/whitepapers/SelfProtectingContent_sum.pdf">http://www.cryptography.com/resources/whitepapers/SelfProtectingContent_sum.pdf</a> on July 10, 2003.] |                |
|   | 5                        | U.S. Patent Application Serial No. 10/052,585 filed 1/23/2002 by Newman et al., titled "SYSTEM AND METHOD FOR PROVIDING CONTEXT INFORMATION."  | ✓              |
|   | 6                        | U.S. Patent Application Serial No. 10/058,268 filed 1/29/2002 by Edwards et al., titled "SYSTEM AND METHOD FOR ENABLING ARBITRARY COMPONENTS TO TRANSFER DATA BETWEEN EACH OTHER."   | ✓              |
|   | 7                        | U.S. Patent Application Serial No. 10/212,377 filed 8/1/2002 by Edwards et al., titled "SYSTEM AND METHOD FOR ENABLING COMPONENTS ON ARBITRARY NETWORKS TO COMMUNICATE."   | ✓              |
|   | 8                        | U.S. Patent Application Serial No. 10/212,375 filed 8/1/2002 by Edwards et al., titled "METHOD AND SYSTEM FOR HANDLING DATA."  | ✓              |
|   | 9                        | U.S. Patent Application Serial No. 10/212,376 filed 8/1/2002 by Edwards et al., titled "SYSTEM AND METHOD FOR CONTROLLING COMMUNICATION."  | ✓              |
|   | 10                       | U.S. Patent Application Serial No. 10/442,582 filed 5/21/2003 by Edwards et al., titled "SYSTEM AND METHOD FOR DYNAMICALLY ENABLING COMPONENTS TO IMPLEMENT DATA TRANSFER SECURITY MECHANISMS."  | ✓              |
|   | 11                       | U.S. Patent Application Serial No. 10/324,625 filed 12/18/2003 by Edwards et al., titled "SYSTEM AND METHOD FOR ASSESSING COMPONENT CAPABILITIES."   | ✓              |

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.